

SECTOR 1  
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PATENT  
5702D-6844

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

TANAKA, et al.  
Serial No: 09/130,818  
Filed: August 7, 1998

For: METHOD FOR CONTROLLING NON-VOLATILE  
SEMICONDUCTOR MEMORY SYSTEM

Art Unit: 2751  
Examiner: unassigned

#3

RESPONSE TO NOTICE TO FILE  
MISSING PARTS OF APPLICATION

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents  
Washington D.C. 20231, on

November 10, 1998  
Date of Deposit

William H. Wright  
Name

[Signature] 11/10/98  
Signature Date

Dear Sir:

In response to the "Notice to File Missing Parts of Application, Filing Date Granted," dated September 11, 1998, response to which is due November 11, 1998, enclosed are the following:

- X A copy of the "Notice to File Missing Parts of Application Filing Date Granted".
- X A "Declaration & Power of Attorney" executed by the inventors.
- X A check in the amount of \$1736 in payment of the filing fee and excess claims fee.
- X A check in the amount of \$130 to cover the surcharge for late filing of the Declaration.

The Commissioner is authorized to charge any additional amounts due in connection with this matter to our Deposit Account No. 12-1820. (A copy of this letter is enclosed).

Respectfully submitted,

LOEB & LOEB LLP

Date: November 10, 1998

By: [Signature]  
William H. Wright  
Registration No. 36,312  
Attorney for Applicant(s)

10100 Santa Monica Blvd., Suite 2200  
Los Angeles, CA 90067-4164  
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UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/130,818	08/07/98	TANAKA	57020-6844

LOEB & LOEB  
10100 SANTA MONICA BLVD  
SUITE 2200  
LOS ANGELES CA 90067-4164

0232/0911

NOT ASSIGNED

2751

DATE MAILED:

09/11/98

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 1866.00.

- ☒ 1. The statutory basic filing fee is:  
☐ missing.  
☐ insufficient.

Applicant must submit \$ 790.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☒ 2. Additional claim fees of \$ 946.00, including any multiple dependent claim fees, are required.

\$ 702.00 for 11 independent claims over 3.

\$ 244.00 for 2 dependent claims over 20.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

- ☐ is missing or unexecuted.  
☐ does not cover the newly submitted items.  
☐ does not identify the application to which it applies.  
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☒ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).  
☐ 7. Your filing receipt was mailed in error because your check was returned without payment.  
☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

BEST AVAILABLE COPY

11/11/1998 INITIAL 0661/02/11  
01 FC1101  
02 FC1102  
03 FC1103  
04 FC1105  
790.00  
902.00  
44.00  
130.00